

acquiring a segment of red data and a segment of IR data from each of the electrical signals representative of attenuated light signals;
transforming both said segment of red data and said segment of IR data into red and IR frequency domain data, respectively;
identifying a plurality of candidate peaks from said red and IR frequency domain data, wherein said identifying includes eliminating harmonic frequencies as possible candidate peaks to obtain said plurality of candidate peaks, wherein no two of said plurality of candidate peaks comprise harmonics of one another;
developing parameters associated with each of said plurality of candidate peaks;
analyzing each of said plurality of candidate peaks with respect to said developed parameters;
arbitrating between at least some of said plurality of candidate peaks using at least some of said developed parameters to select a best frequency;
outputting pulse rate and saturation relating to said best frequency; and
repeating the above steps for new segments of data.

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REMARKS

Applicants note the filing of a Supplemental Information Disclosure Statement herein on July 5, 2000, and note that no copy of the PTO-1449 was returned with the outstanding Office Action. Applicants respectfully request that the information cited on the PTO-1449 be made of record herein.

The Office Action mailed September 6, 2001, has been received and reviewed. Claims 1-48 are currently pending in the application. Claims 1-12 and 14-48 stand rejected. Claim 13 has been objected to as being dependent upon rejected base claims, but the indication of allowable subject matter in Claim 13 is noted with appreciation. Claim 28 stands objected to for informalities. Applicants have amended Claims 1, 6, 10, 11, 28, 30, 41, 44, 46 and 48, and respectfully request reconsideration of the application as amended herein.

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Claim Objections

Claim 28 has been objected to because of an informality. Applicants have amended Claim 28 in the manner suggested by the Examiner and also to correct an error in punctuation. Additionally, Claims 10 and 11 have been amended to replace the transition phrase "is" with the transition phrase --comprises--.

35 U.S.C. § 112 Claim Rejections

Claim 6 stands rejected under 35 U.S.C. § 112, ¶ 2, as failing to set forth the subject matter which applicants regard as their invention. Applicants have amended Claim 6 to place the claim in proper form for a Markush group as suggested by the Examiner.

35 U.S.C. § 102(e) Anticipation Rejections

Anticipation Rejection Based on U.S. Patent No. 6,122,535 to Kaestle et al.

Claims 1-5, 7-8, 18-26, 30-42 and 44-48 stand rejected under 35 U.S.C. § 102(e) as being anticipated by Kaestle et al., U.S. Patent No. 6,122,535. Applicants have amended Claims 1, 30, 41, 44, 46 and 48, as hereinafter set forth.

A claim is anticipated only if each and every element as set forth in the claim is found, either expressly or inherently described, in a single prior art reference. *Verdegaal Brothers v. Union Oil Co. of California*, 2 U.S.P.Q.2d 1051, 1053 (Fed. Cir. 1987). The identical invention must be shown in as complete detail as is contained in the claim. *Richardson v. Suzuki Motor Co.*, 9 U.S.P.Q.2d 1913, 1920 (Fed. Cir. 1989).

Regarding Claims 1 and 30, Applicants have added the limitation "wherein said identifying includes eliminating harmonic frequencies as possible candidate peaks to obtain a plurality of identified candidate peaks, wherein no two of said plurality of identified candidate peaks comprise harmonics of one another", a limitation not found in Kaestle et al.

Regarding Claims 46 and 48, Applicants have added the limitation “wherein said identifying includes eliminating harmonic frequencies as possible candidate peaks to obtain said plurality of candidate peaks, wherein no two of said plurality of candidate peaks comprise harmonics of one another”. Applicants believe that Kaestle et al. does not disclose this added limitation.

Similarly regarding Claims 41 and 44, Applicants have added the limitation “, wherein said analyzing includes eliminating harmonic frequencies as possible candidate peaks to obtain said candidate peaks, wherein no two of said candidate peaks comprise harmonics of one another”. Applicants believe that this limitation is not disclosed in Kaestle et al. As Claims 4-5, 8, 18-26, 31-40, 42, 45 and 47 all depend from amended Claims 1, 30, 41, 44, 46 and 48, they too are believed to patentable over Kaestle et al.

35 U.S.C. § 103(a) Obviousness Rejections

The Examiner has rejected Claims 6, 9-12, 14-17, 28-29 and 43 under 35 U.S.C. § 103(a) for obviousness. M.P.E.P. 706.02(j) sets forth the standard for a § 103(a) rejection:

To establish a *prima facie* case of obviousness, three basic criteria must be met. First, there must be some suggestion or motivation, either in the references themselves or in the knowledge generally available to one of ordinary skill in the art, to modify the reference or combine reference teachings. Second, there must be a reasonable expectation of success. Finally, **the prior art reference (or references when combined) must teach or suggest all the claim limitations.** The teaching or suggestion to make the claimed combination and the reasonable expectation of success must both be found in the prior art, and not based on applicant's disclosure. *In re Vaeck*, 947 F.2d 488, 20 USPQ2d 1438 (Fed. Cir. 1991). (Emphasis added).

The 35 U.S.C. § 103(a) obviousness rejections of Claims 6, 9-12, 14-17, 28-29 and 43 are improper for the following reasons.

Obviousness Rejection Based on U.S. Patent No. 6,122,535 to Kaestle et al. in view of U.S. Patent No. 5,830,137 to Scharf

Claim 6 stands rejected under 35 U.S.C. § 103(a) as being unpatentable over Kaestle et al. (U.S. Patent No. 6,122,535) as applied to Claim 1 in view of Scharf (U.S. Patent No. 5,830,137). As noted above Claim 6 has been amended to overcome the § 112, ¶ 2 rejection. Additionally, Claim 6 depends from amended Claim 1 and is therefore believed to be patentable over the asserted combination of Kaestle et al and Scharf, because neither Kaestle et al. nor Scharf disclose the limitation "each of said plurality of candidate peaks not comprising a harmonic of one another" as recited in amended Claim 1.

Obviousness Rejection Based on U.S. Patent No. 6,122,535 to Kaestle et al. in view of U.S. Patent No. 5,621,730 to Kelley

Claims 9-10, 12 and 14-16 stand rejected under 35 U.S.C. § 103(a) as being unpatentable over Kaestle et al. as applied to Claim 1 in view of Kelley. As noted above, Claim 10 has been amended to replace the transition phrase "is" with the transition phrase --comprises--. Additionally, as Claims 9-10, 12 and 14-16 depend from amended Claim 1 they too are believed to be patentable over the asserted combination of Kaestle et al. and Kelley, because neither Kaestle et al. nor Kelley disclose the limitation "each of said plurality of candidate peaks not comprising a harmonic of one another" as recited in amended Claim 1.

Obviousness Rejection Based on U.S. Patent No. 6,122,535 to Kaestle et al. in view of U.S. Patent No. 6,061,582 to Small et al.

Claims 11 and 17 stand rejected under 35 U.S.C. § 103(a) as being unpatentable over Kaestle et al. as applied to Claim 1 in view of Small et al. As noted above, Claim 11 has been amended to replace the transition phrase "is" with the transition phrase --comprises--. Additionally, as Claims 11 and 17 depend from amended Claim 1 they too are believed to be patentable over the asserted combination of Kaestle et al. and Small et al., because neither

Kaestle et al. nor Small et al. disclose the limitation "each of said plurality of candidate peaks not comprising a harmonic of one another" as recited in amended Claim 1.

Obviousness Rejection Based on U.S. Patent No. 6,122,535 to Kaestle et al.

Claims 28-29 and 43 stand rejected under 35 U.S.C. § 103(a) as being unpatentable over Kaestle et al. as applied to Claims 27 and 42. As Claims 28-29 depend from amended Claim 1 they too are believed to be patentable over Kaestle et al. because Kaestle et al. fails to disclose the limitation "each of said plurality of candidate peaks not comprising a harmonic of one another" as recited in amended Claim 1.

Objection to Claim 13 / Allowable Subject Matter

Claim 13 stands objected to as being dependent upon a rejected base claim, but is indicated to contain allowable subject matter and would be allowable if placed in appropriate independent form. The indication of allowable subject matter is noted with appreciation. However, Claim 13 depends from amended Claim 1 and is therefore believed to be allowable as written for the same reasons cited above.

ENTRY OF AMENDMENTS

The amendments to Claims 1, 6, 10, 11, 28, 30, 41, 44, 46 and 48 above should be entered by the Examiner because the amendments are supported by the as-filed specification and drawings and do not add any new matter to the application.

CONCLUSION

Claims 1-48 are believed to be in condition for allowance, and an early notice thereof is respectfully solicited. Should the Examiner determine that additional issues remain which might be resolved by a telephone conference, he is respectfully invited to contact Applicants' undersigned attorney.

Respectfully Submitted,



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Enclosure: Version With Markings to Show Changes Made

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VERSION WITH MARKINGS TO SHOW CHANGES MADE

1. (Amended) A method of removing motion artifacts from electrical signals representative of attenuated light signals, comprising:
transforming the electrical signals into frequency domain data;
identifying a plurality of candidate peaks from said frequency domain data, wherein said identifying includes eliminating harmonic frequencies as possible candidate peaks to obtain a plurality of identified candidate peaks, wherein no two of said plurality of identified candidate peaks comprise harmonics of one another;
developing parameters associated with each of said plurality of identified candidate peaks;
analyzing each of said plurality of candidate peaks with respect to at least some of said developed parameters; and
arbitrating between at least some of said plurality of candidate peaks employing at least some of said developed parameters to select a best frequency.
2. The method of claim 1, further comprising conditioning said electrical signals to reduce spectral leakage prior to said transforming step.
3. The method of claim 2, wherein said conditioning includes filtering said electrical signals.
4. The method of claim 3, wherein said filtering is performed with a Hanning window.
5. The method of claim 1, wherein said transforming the electrical signals into frequency domain data is performed with a fast Fourier transform.

6. (Amended) The method of claim 1, wherein said transforming the electrical signals into frequency domain data is performed with a technique selected from the group [comprising] consisting of a periodogram, a correlogram, autoregressive methods, Prony's method, minimum variance methods, maximum likelihood methods, a discrete cosine transform, a wavelet transform, a discrete Hartley transform and a Gabor transform.

7. The method of claim 1, wherein said identifying said plurality of candidate peaks comprises:
assigning a largest power amplitude from said frequency domain data as a primary candidate peak;
assigning a next largest power amplitude that is not a harmonic of said primary candidate peak as a secondary candidate peak; and
assigning a previous non-zero pulse rate as a tertiary candidate peak if said previous non-zero pulse rate is neither said primary candidate peak nor said secondary candidate peak.

8. The method of claim 1, wherein said identifying said plurality of candidate peaks comprises identifying n peaks, by frequency, F_1 to F_n , in descending order of peak amplitude, where F_1 through F_n are not harmonics of each other.

9. The method of claim 1, further comprising filtering each of said plurality of candidate peaks with a narrow band filter before said developing parameters step.

10. (Amended) The method of claim 9, wherein said narrow band filter [is] comprises a finite impulse response filter.

11. (Amended) The method of claim 9, wherein said narrow band filter [is] comprises an infinite impulse response filter.

12. The method of claim 1, further comprising filtering each of said plurality of candidate peaks with one of n narrow band filters before said developing parameters step to mask influence of candidate frequencies not under evaluation.

13. The method of claim 12, wherein $n = 8$ and wherein each of said 8 narrow band filters is separated by a fixed difference in frequency in a range of approximately 25 bpm to approximately 30 bpm.

14. The method of claim 12, wherein each of said n narrow band filters is separated by a variable difference in frequency in a range of approximately 25 bpm to approximately 30 bpm.

15. The method of claim 1, further comprising filtering each of said plurality of candidate peaks with a narrow band filter of variable center frequency.

16. The method of claim 1, further comprising filtering each of said plurality of candidate peaks with a narrow band filter wherein filter coefficients are generated and adjusted so that the center frequency of said narrow band filter is approximately the frequency associated with each of said candidate peaks.

17. The method of claim 1, further comprising filtering each of said plurality of candidate peaks using a fast Fourier transform (FFT), narrow band filter and inverse FFT.

18. The method of claim 1, wherein said analyzing each of said plurality of candidate peaks with respect to said developed parameters includes calculating a window pulse rate.

19. The method of claim 1, wherein said analyzing each of said plurality of candidate peaks with respect to said developed parameters includes calculating pulse width variability.

20. The method of claim 1, wherein said analyzing each of said plurality of candidate peaks with respect to said developed parameters includes calculating SpO₂ variability.

21. The method of claim 1, wherein said analyzing each of said plurality of candidate peaks with respect to said developed parameters includes calculating pulse window SpO₂.

22. The method of claim 1, wherein said analyzing each of said plurality of candidate peaks with respect to said developed parameters includes calculating pulse rate history percentage.

23. The method of claim 1, wherein said analyzing each of said plurality of candidate peaks with respect to said developed parameters includes calculating pulse window confidence.

24. The method of claim 23, wherein said calculating pulse window confidence includes a weighted sum of pulse width variability, SpO₂ variability and pulse rate history percentage.

25. The method of claim 1, wherein said analyzing each of said plurality of candidate peaks with respect to at least some of said developed parameters includes calculating a window pulse rate, pulse width variability, SpO₂ variability, pulse window SpO₂, pulse rate history percentage and pulse window confidence.

26. The method of claim 1, wherein said arbitrating between at least some of said plurality of candidate peaks based on said developed parameters includes applying a predetermined criteria to select said best frequency.

27. The method of claim 1, wherein said plurality of candidate peaks comprises up to three candidate peaks, including a primary candidate peak, a secondary candidate peak and a tertiary candidate peak.

28. (Amended) The method of claim 27, wherein said arbitrating between each of said up to three candidate peaks includes applying the following criteria using at least some of said developed parameters to select said best frequency:

- (a) if the primary candidate peak frequency is zero, then there is no valid candidate peak;
- (b) if the tertiary candidate peak pulse window confidence is less than the pulse window confidence for either the primary candidate peak or the secondary candidate peak, then the tertiary candidate peak is said best frequency;
- (c) if the primary candidate peak and the secondary candidate peak have both been rejected, then there is no valid candidate peak;
- (d) if the primary candidate peak has not been rejected and the secondary candidate peak has been rejected, then the primary candidate peak is said best frequency;
- (e) if the primary candidate peak has been rejected and the secondary candidate peak has not been rejected, then the secondary candidate peak is said best frequency[.];
- (f) if the primary candidate peak pulse window confidence is greater than the secondary candidate peak pulse window confidence by a first threshold, t_1 , and the primary candidate peak pulse rate history percentage is greater than a second threshold, t_2 , then the primary candidate peak is said best frequency;
- (g) if the secondary candidate peak frequency is a rough harmonic of the primary candidate peak frequency and the pulse window confidence of the primary candidate peak is not more

than a specified number of points greater than the pulse window confidence of the secondary candidate peak, then accept the primary candidate peak; and

- (h) if the pulse window confidence of the primary candidate peak is no more than a specified number of points greater than the pulse window confidence of the secondary candidate peak, then said primary candidate peak is said best frequency, otherwise, said secondary candidate peak is said best frequency.

29. The method of claim 28, wherein said arbitration is conducted in the sequence presented in claim 28.

30. (Amended) A method of determining pulse rate and saturation from electrical signals representative of attenuated light signals and motion artifacts, comprising:
acquiring a segment of red data and a segment of IR data from each of the electrical signals representative of attenuated light signals;
transforming both said segment of red data and said segment of IR data into red and IR frequency domain data, respectively;
identifying a plurality of candidate peaks from said red and IR frequency domain data, wherein said identifying includes eliminating harmonic frequencies as possible candidate peaks to obtain a plurality of identified candidate peaks, wherein no two of said plurality of identified candidate peaks comprise harmonics of one another;
developing parameters associated with each of said plurality of identified candidate peaks;
analyzing each of said plurality of candidate peaks with respect to at least some of said developed parameters;
arbitrating between at least some of said plurality of candidate peaks employing at least some of said selected parameters to select a best frequency;
outputting pulse rate and saturation relating to said best frequency; and
repeating the above steps for new segments of data.

31. The method of claim 30, wherein said transforming includes performing a fast Fourier transform.

32. The method of claim 30, wherein said identifying said plurality of candidate peaks comprises:

assigning a largest power amplitude from said frequency domain data as a primary candidate peak;

assigning a next largest power amplitude that is not a harmonic of said primary candidate peak as a secondary candidate peak;

assigning a previous non-zero pulse rate as a tertiary candidate peak if said previous non-zero pulse rate is neither said primary candidate peak nor said secondary candidate peak.

33. The method of claim 30, wherein said developed parameters includes window pulse rate calculated by dividing sum of all pulse width times of all peaks in a data segment by quantity of peaks detected in said data segment.

34. The method of claim 30, wherein said developed parameters includes pulse width variability calculated as the sum of absolute differences between individual pulse widths and average pulse width normalized by said average pulse width.

35. The method of claim 30, wherein said developed parameters includes SpO_2 variability calculated as a sum of absolute difference between individual SpO_2 values and average SpO_2 for a given pulse window.

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36. The method of claim 30, wherein said developed parameters includes pulse window SpO₂ calculated by taking a measure of central tendency of all individual SpO₂ calculations in a given pulse window.

37. The method of claim 30, wherein said developed parameters includes pulse peak amplitude variability calculated as a sum of differences between individual pulse peak amplitudes and average pulse peak amplitude for a given pulse window.

38. The method of claim 30, wherein said developed parameters includes pulse rate history percentage calculated as a percentage of time that a pulse rate corresponding to a candidate peak has occurred in a given period of time.

39. The method of claim 30, wherein said developed parameters includes pulse window confidence calculated as a weighted sum of pulse width variability, SpO₂ variability, pulse amplitude variability and pulse rate history percentage.

40. The method of claim 30, wherein said arbitrating between at least some of said plurality of candidate peaks employing at least some of said developed parameters includes applying selection criteria to select said best frequency.

41. (Amended) A method of removing motion artifacts from a single electrical signal representative of an attenuated light signal, comprising:
acquiring a segment of data from the electrical signal;
conditioning said segment of data for signal processing;
transforming said conditioned segment of data into frequency domain data;
analyzing said frequency domain data to identify candidate peaks, wherein said analyzing includes eliminating harmonic frequencies as possible candidate peaks to obtain said

candidate peaks, wherein no two of said candidate peaks comprise harmonics of one another;

developing parameters associated with each of said candidate peaks;
arbitrating between said candidate peaks using at least some of said developed parameters to
select a best frequency; and
repeating the above steps with a new segment of data.

42. The method of claim 41, wherein said analyzing said frequency domain data to identify candidate peaks includes identifying all n candidate frequencies associated with the n largest amplitude peaks in power spectrum which are not harmonics of each other.

43. The method of claim 42, wherein n equals two.

44. (Amended) A circuit card for use in a pulse oximetry system to remove motion-induced noise artifacts from attenuated light signals, said circuit card comprising:
a circuit board for mounting electronic circuitry and interfacing with the pulse oximetry system;
a processor mounted on said circuit board for processing at least one input signal according to instructions; and
memory for storing a computer program, wherein said memory is operably coupled to said processor, and wherein said computer program includes instructions for implementing a method of removing motion artifacts from said attenuated light signals, said method comprising:
acquiring a segment of red data and a segment of IR data from said attenuated light signals;
conditioning said red segment of data and said IR segment of data for signal processing;
transforming said conditioned segments of data into frequency domain data;

analyzing said frequency domain data to identify candidate peaks, wherein said analyzing includes eliminating harmonic frequencies as possible candidate peaks to obtain said candidate peaks, wherein no two of said candidate peaks comprise harmonics of one another;

developing parameters associated with each of said candidate peaks;

arbitrating between said candidate peaks using at least some of said developed parameters to select a best frequency; and

repeating the above steps with a new segment of data.

45. The circuit card of claim 44, wherein said processor is a digital signal processor.

46. (Amended) A pulse oximetry system for removing motion-induced noise artifacts from electrical signals representative of attenuated light signals comprising an input device, an output device, and a motion artifact circuit card, wherein said motion artifact circuit card comprises:

a circuit board for mounting electronic circuitry and interfacing with the pulse oximetry system;
a processor mounted on said circuit board for processing at least one input signal according to instructions; and

memory for storing a computer program, wherein said memory is operably coupled to said processor, and wherein said computer program includes instructions for implementing a method of removing motion artifacts from said measured pulse oximetry signals, said method comprising:

acquiring a segment of red data and a segment of IR data from each of the electrical signals representative of attenuated light signals;

transforming both said segment of red data and said segment of IR data into red and IR frequency domain data, respectively;

identifying a plurality of candidate peaks from said red and IR frequency domain data,
wherein said identifying includes eliminating harmonic frequencies as possible
candidate peaks to obtain said plurality of candidate peaks, wherein no two of said
plurality of candidate peaks comprise harmonics of one another;
developing parameters associated with each of said plurality of candidate peaks;
analyzing each of said plurality of candidate peaks with respect to said developed
parameters;
arbitrating between at least some of said plurality of candidate peaks using at least some
of said developed parameters to select a best frequency;
outputting pulse rate and saturation relating to said best frequency; and
repeating the above steps for new segments of data.

47. The pulse oximetry system of claim 46, wherein said processor is a digital signal processor.

48. (Amended) A pulse oximetry system for removing motion-induced noise artifacts from electrical signals representative of attenuated light signals comprising an input device, an output device, and a motion artifact circuitry, wherein said motion artifact circuitry includes: a processor for processing at least one input signal according to instructions; and memory operably coupled to said processor for storing a computer program, wherein said computer program includes instructions for implementing a method of removing motion artifacts from said measured pulse oximetry signal, wherein said method comprises: acquiring a segment of red data and a segment of IR data from each of the electrical signals representative of attenuated light signals;
transforming both said segment of red data and said segment of IR data into red and IR frequency domain data, respectively;

identifying a plurality of candidate peaks from said red and IR frequency domain data,
wherein said identifying includes eliminating harmonic frequencies as possible
candidate peaks to obtain said plurality of candidate peaks, wherein no two of said
plurality of candidate peaks comprise harmonics of one another;
developing parameters associated with each of said plurality of candidate peaks;
analyzing each of said plurality of candidate peaks with respect to said developed
parameters;
arbitrating between at least some of said plurality of candidate peaks using at least some
of said developed parameters to select a best frequency;
outputting pulse rate and saturation relating to said best frequency; and
repeating the above steps for new segments of data.